



444

Attorney Docket No. 00522CIP/DH

**IN THE UNITED STATES PATENT  
AND TRADEMARK OFFICE**

Applicant(s): Brown et al

Serial No. : 09/854,838

Filed : May 14, 2001

For : AUTOMATIC TEXT  
CLASSIFICATION  
SYSTEM

Art Unit : 2176

**CERTIFICATE OF MAILING**

I hereby certify this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on the date noted below.

  
Sharon Portnoy

Dated: November 16, 2001

In the event that this Paper is late filed, and the necessary petition for extension of time is not filed concurrently herewith, please consider this as a Petition for the requisite extension of time, and to the extent not tendered by check attached hereto, authorization to charge the extension fee, or any other fee required in connection with this Paper, to Account No. 06-1378.

**SUBMISSION OF FORMAL DRAWINGS**

Assistant Commissioner for Patents  
Washington, D.C. 20231

S I R :

Enclosed are 15 sheets of formal drawings, Figs. 1-15.

Respectfully submitted,



Douglas Holtz, Esq.  
Reg. No. 33,902

Frishauf, Holtz, Goodman, Langer & Chick, P.C.  
767 Third Avenue - 25th Floor  
New York, New York 10017-2023

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01933  
PATENT TRADEMARK OFFICE

Attorney Docket No. 00522CIP/DH



**IN THE UNITED STATES PATENT  
AND TRADEMARK OFFICE**

Applicant(s): Brown et al

Serial No. : 09/854,838

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Art Unit : 2176

**SUBMISSION OF SIGNED DECLARATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Att: Application Branch

S I R :

Responsive to the Patent Office Notice mailed August 27, 2001, the term for response to which has been extended by one month by Petition filed concurrently herewith to November 27, 2001, submitted herewith is a Declaration executed by the inventors, referring to the application by Serial Number and filing date.

**Applicant is entitled to SMALL ENTITY STATUS.**

A check in the amount of \$ 1,649.00 is enclosed to cover the following charges:

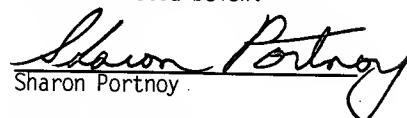
\$1,444.00 - Filing Fee - The application contains 102 claims, 11 of which are independent;

\$ 140.00 - Multiple dependent claim fee; and

\$65.00 for submission of the signed Post-Filed Declaration.

**CERTIFICATE OF MAILING**

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Sharon Portnoy

Dated: November 16, 2001

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PATENT TRADEMARK OFFICE

The above filing fee has been calculated based on the original application as well as the Preliminary Amendment being filed concurrently herewith.

**RE. OFFICIAL FILING RECEIPT**

Please insert the following priority data on the Filing Receipt under the heading "**FOREIGN APPLICATIONS**" as indicated in red on the attached copy:

--UK 0011543.6 05/12/2000--

The above-identified British application was listed in our Transmittal Letter of May 14, 2001. Priority is being claimed.

Authorization is given to charge any additional fees which may be required, or to credit any overpayment, to Account No. 06-1378.

It is respectfully requested that prosecution on the merits now proceed.

Respectfully submitted,



Douglas Holtz, Esq.  
Reg. No. 33,902

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DH:sp



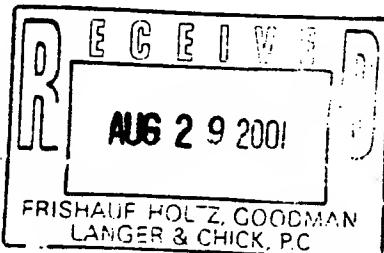
UNITED STATES PATENT AND TRADEMARK OFFICE

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WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

*Receipt #6*

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY/OCKET NO	DRAWINGS	TOT CLAIMS	INO CLAIMS
09/854,838	05/14/2001	2176	0.00	00522CIP/LH	15	83	11

01933  
FRISHAUF, HOLTZ, GOODMAN &  
LANGER & CHICK, PC  
767 THIRD AVENUE  
25TH AVE  
NEW YORK, NY 10017-2023



CONFIRMATION NO. 8339

FILING RECEIPT



\*OC00000006473591\*

Date Mailed: 08/27/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Daniel Brown, London, UNITED KINGDOM;  
Benjamin Anthony Janes, Surrey, UNITED KINGDOM;  
Murray Steele, London, UNITED KINGDOM;  
Richard James Cooper, London, UNITED KINGDOM;

**Assignment For Published Patent Application**

Applied Psychology Research Limited, London, UNITED KINGDOM;

**Domestic Priority data as claimed by applicant**

THIS APPLICATION IS A CIP OF 09/615,295 07/13/2000

**Foreign Applications**

UK 0011543.6 05/12/2000

If Required, Foreign Filing License Granted 07/24/2001

**Projected Publication Date:** To Be Determined - pending completion of Missing Parts

**Non-Publication Request:** No

**Early Publication Request:** No

**\*\* SMALL ENTITY \*\***

**Title**

Automatic text classification system

**Preliminary Class**

707

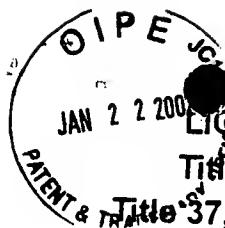
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Data entry by : IBRAHIM, ADILA

Team : OIPE

Date: 08/27/2001





LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 5.13(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



**UNITED STATES PATENT AND TRADEMARK OFFICE**

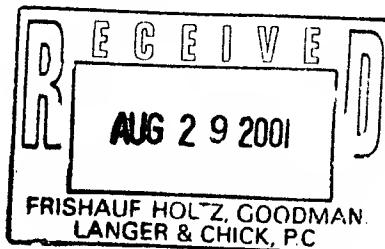
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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/854,838	05/14/2001	Daniel Brown	00522CIP/LH

01933  
FRISHAUF, HOLTZ, GOODMAN &  
LANGER & CHICK, PC  
767 THIRD AVENUE  
25TH AVE  
NEW YORK, NY 10017-2023



CONFIRMATION NO. 8339

FORMALITIES LETTER



\*OC000000006473592\*

Date Mailed: 08/27/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

***Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1256.
  - \$801 for 89 total claims over 20.
  - \$320 for 8 independent claims over 3 .
  - \$135 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1676.**

01/28/2002 VTRUONG1 00000009 09854838

01 FC:201	370.00 DP
02 FC:202	336.00 DP
03 FC:203	738.00 DP
04 FC:204	140.00 DP
05 FC:205	65.00 DP

*A copy of this notice MUST be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE